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BOARD MANUAL

Accompanying

CONSUMER VOLUNTEERS ON NON-PROFIT BOARDS: A LEADERSHIP TRAINING Workshop

Compiled and Written By:

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Jean Latting

P R E F A C E

This Board Manual accompanies the workshop "CONSUMER VOLUNTEERS ON NON-PROFIT BOARDS." The workshop is designed specifically for boards of directors of non-profit organizations, most of whose members are consumers. This includes associations of disabled people, parent groups, community groups, independent living centers and others.

The Manual is organized into seven sections: The Organization; The Board; Personnel; Finance; Program Planning; Public and Community Relations; and Technical Tools. It is designed to be adapted into each organization's own handbook. The sections relate to primary areas of function of any board. The material is a combination of original and adapted work.

You should check your Manual to be sure that you have all the documents you need. If any do not exist, then your board will need to develop them. This Manual should be regarded as the property of the board, and should you vacate your position, then you should return the Manual so that it can be passed on to your successor.

The self-evaluation tools at the back of the Manual should be used periodically to detect trouble spots that need attention. Remember that this is only the first step in your journey. Few rules are hard and fast. Enjoy yourself!

M.P.

J.L.

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ORGANIZATIONAL STRUCTURE

Rules of thumb:

Unity of Command
Chain of Authority
Standardization of Function
Specialization of Function
Clear Job Specifications
Line and Staff Functions

DRAW YOUR OWN BOARD'S ORGANIZATIONAL
CHART

----- Lines of communication

_____ Lines of authority

CONSTITUTION AND BY-LAWS

While practice varies considerably, the Constitution is generally a more brief statement of the purpose and structure of the board. This also serves to fulfill legal requirements when incorporating an organization. The By-Laws contain provisions needed to carry out the Constitution, and administer and operate the board. Changes to the Constitution should be very rare and require a large percentage of votes of the board or members. Changes to the By-Laws may require a smaller percentage of votes and may be necessary as the organization changes.

The Constitution usually contains:

- name of the organization
- purposes or goals of the organization
- qualifications for membership in the organization
- officers of the organization
- provision for selection of board of directors
- time and place for regular meetings
- procedure for calling special meetings
- number of quorum of the board
- method of amending the Constitution and vote required

The By-Laws usually contains sections relating to :

- membership
- committees
- officers of the board
- notice of meetings
- election of board members and officers
- order of business for meetings
- amendment of By-Laws
- quorum

When drawing up your Constitution and By-Laws you should seek consultation from an attorney. Your Constitution should be broad enough in scope to allow flexibility without losing the purpose and orientation of the organization. Your By-Laws should be specific enough to ensure that democratic procedures can be followed in decision making. These will color your organization and determine how it functions. Once you have Constitution and By-Laws, reread them frequently and be sure that you are following them.

Adapted from: Constitution and By-Laws, Federation of Protestant Welfare Agencies, Inc., Department for Board and Service Volunteers. December 1971.

THE BOARD

BOARD MEMBERSHIP LIST
COMMITTEE ASSIGNMENT MATRIX
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THE BOARD

Why

1. Collective wisdom.
2. Community support.
3. Continuity: Policy and Programs.
4. Democratic participation.
5. Leadership training.
6. Legal stewardship and accountability for money.
7. Improvement of service delivery.

NEEDS

PEOPLE

POWER

MONEY

INFORMATION

MEMBERS

Need to be interested, have time and willingness, bring something to the board that it needs, be able to work with others.

Technical Tools:

Funding and Budgeting
Policy Planning
Program Planning
Personnel Practices
Public Relations

Knowledge:

Community Problems
Service Delivery

COMMITTEES

EXECUTIVE
PERSONNEL
FINANCE
PROGRAM(S) PLANNING
PUBLIC & COMMUNITY RELATIONS

- Divide the labor (committees with defined objectives).
- Provide the leadership (board members must chair all cmte.)
- Bring together all interests (include staff, consumers etc.).
- Use outside resources (invite people with expertise to help).
- Do the planning work outside the board meetings.
- Bring recommendations and information to the full board.
- Make decisions at the full board.
- Delegate authority to Director. Delegate tasks to committees.

ACCOUNTABILITY

ANSWER

EXPLAIN

RESPOND

TO: THE ORGANIZATION
THE COMMUNITY
CLIENTS/CONSUMERS
EXECUTIVE DIRECTOR
STAFF
FUNDING SOURCES
PUBLIC (incl. LAW)

FOR: REMEDIATION OF PROBLEMS
QUALITY OF SERVICES
EXPENDITURE OF FUNDS
CONTRACT COMPLIANCE
LEGAL REQUIREMENTS

HOW: POLICY SETTING
RECORD KEEPING
BUDGET
MONITORING
EVALUATION

LIABILITY

DILIGENCE

PRUDENCE

Negligent or willful mismanagement or misconduct.

- All applicable laws whether you know about them or not.

Not to act in your own self-interest.

All funders requirements - spending the money as you promised.

BOARD FUNCTIONS

1. ADMINISTRATION AND Policy

- general policy formulation
- legal stewardship
- public accountability
- problem solving group

2. FINANCE

- fiscal planning, control, and reporting
- development of financial resources and programs

3. PERSONNEL

- staffing executive director
- personnel standards, practices and development

4. PROGRAM PLANNING

- defining needs and target population
- developing short, intermediate and long-term goals
- evaluating programs and activities

5. Public & COMMUNITY RELATIONS

- presenting the organization's goals and programs to various publics
- interacting with the formal and informal groups whose activities are relevant to the goals and programs of the organization
- help staff maintain regular communication with media, membership and interested individuals

BOARD AND EXECUTIVE RESPONSIBILITIES

Board and Executive responsibilities are both distinct and overlapping. A well-informed board and a competent executive director interacting may still experience conflict, agency operations however will have a better chance of success if executive and board have a good working relationship.

<u>Responsibilities</u>	<u>Board</u>	<u>Executive</u>
Establishes legal entity.	X	
Selects executive director.	X	
Ensures adequate funds are available.	X	
Monitors staffing, work conditions, salaries, and facilities.	X	X
Accounts for services of agency and expenditure of funds.	X	
Prepares budgets and reports.		X
Establishes the budget.	X	
Studies reports, advises and consents on matters of policy and procedure.	X	
Organizes the agency's services and coordinates work of board and staff.		X
Represents the agency in the community.	X	X
Employs, directs, trains, supervises, and leads staff directly or by delegation.		X

Adapted from material in Dr. E. Glover, Guide for Board Organization and Administrative Structure, Child Welfare League of America.

AREAS OF SHARED RESPONSIBILITY OF BOARD AND STAFF

1. A major responsibility of board members and staff members is to understand and have conviction about the purpose and function of their agency. The word conviction is the key to the matter. Board members especially must feel deeply about the importance of what their agency is doing and must be willing to express this conviction steadfastly and firmly.
2. It is the responsibility of both groups to be thoroughly informed about the program and services of the agency and be willing to interpret these services widely so that more and more people will understand them.
3. Board members and staff members must work very hard to guarantee that the agency is provided with the conditions essential to the rendering of good service. Conditions include adequate budget, adequate staff, and adequate facilities, so that the agency will be allowed to offer a high quality of service always in relation to the best of standards.
4. It is important that the board members and staff members work together in appraising the work of the agency. In doing so they will make a conscious and continuous effort to be certain that the agency is doing the best possible job.
5. It is vital that board members and staff members have vision and imagination. Both groups should be looking ahead and trying to make plans for needs before the needs become so acute that the agency is overwhelmed by them. Long-range planning is particularly important today, and it is a shared responsibility.
6. Board members and staff members together have a responsibility to unite with the total community in formulating a philosophy of human needs and in suggesting how these needs should be met. There will always be honest differences of opinion as to how needs should be met. Nevertheless, board and staff members should be in the front line helping the community to make sound decisions.
7. It is the responsibility of all board members and staff members to study, to learn, to accept training so that they will be better equipped to do their jobs.

Adapted from: Federation of Protestant Welfare Agencies, Inc., Harleigh B. Trecker, "New Understandings of Administration," Association Press.

THE ROLE OF THE CHAIRPERSON

The chairperson of a board committee has a very important role in ensuring that operations are smooth. You should understand and be willing to fill this commitment before accepting the position.

The chairperson:

Organizes the committee and its work

- staffs the committee
- ensures a division of labor of committee work
- provides orientation to new committee members
- leads in the development of the committee's annual objectives
- makes appointments as necessary for special tasks
- confers with committee members regularly
- follows up on plans and assignments
- advises, consults on problems
- coordinates work being done
- ensures that members' special skills and talents are well used

Holds regular committee meetings and any special meetings

- calls and prepares for regular and special meetings
- discusses items of presentation beforehand with members
- prepares agenda and supporting materials
- presides at committee meetings
- gives background on agenda items and leads discussion
- facilitates group opinion and decision
- calls for reports and reports on own work
- provides information from the president, board, committees and others
- reviews adherence to responsibilities and objectives with committee
- leads evaluation of projects and annual performance

Follows up on each committee meeting

- makes monthly or quarterly reports to board and prepares annual report
- consults with president, executive director, assigned staff, and other committee chairpersons on plans and activities
- maintains files of minutes, correspondence and other data
- guides and encourages members in their work

Presents committee budget request

- develops budget request with committee, based on objectives
- submits budget request and explains considerations

Relates work of the committee to the agency and to the community

- attends and participates in monthly board meetings
- seeks the input, advice and opinions of other board members in committee work
- seeks the consent or decision of the board in matters of importance
- works with other chairpersons
- keeps informed regarding the work of other committees
- keeps informed regarding the practices of other agencies

Adapted from: "You're Running the Show," Illinois Dept. of Mental Health and Developmental Disabilities.

COMMITTEE MATRIX

COMMITTEE

NAME / SPECIAL INTERESTS	EXEC.	PERS.	FINANCE	P. R.	PROG.P.
BOARD MEMBERS					
STAFF MEMBERS					
OTHERS					

COMMITTEE

NAME

BOARD MEMBERS

STAFF MEMBERS

OTHERS

BOARD CALENDAR

JAN	FEB
MAR	APR
MAY	JUN

Jul	AUG
SEPT	OCT
Nov	DEC

Note all board meetings, committee and sub-committee meetings, Start-up dates for projects. Evaluation dates. Deadlines. Audit dates. etc.

PERSONNEL

PERSONNEL PRACTICES
JOB DESCRIPTIONS
BENEFITS PACKAGE
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PERSONNEL Policies

Every organization should have a statement of personnel policies.

Your personnel policies should include:

- Affirmative Action Plan and statement of Non-Discrimination

- Salary Schedule

- Benefits (eligibility and description)

 - insurance (health, life, professional)

 - holidays

 - sick leave

 - parental leave

 - leave with or without pay

 - vacation

 - employee development

 - pension plan

- Standards of Conduct

- Performance Evaluation and Review Procedures

- Hiring, Termination, Probationary Period

- Promotion and Tenure

- Grievance and Discipline Procedures

- Hours of Work, Outside Employment

FINANCE

BUDGET

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THE PLANNING PROCESS

There is a reason for discussing the planning process - before we jump in - so that we all agree on why and what we are trying to do together. One of the most simple and complete ways of looking at the planning process is outlined below. It is best not to skip any stages. You may find that you skip around and do several things simultaneously. However, always check carefully to be sure that each step has been adequately covered.

PROBLEM IDENTIFICATION AND NEEDS ASSESSMENT - What area of responsibility are we accepting for ourselves? What values are we basing our goals on? What exactly are the problems and needs to be met? How many people? Where? How bad are the problems? Who says so and how do we know? This tells us that what we suspect is needed really is. It may also tell us things we didn't know. It proves to others that the problem really needs attention. It is our starting point.

OBJECTIVE AND PRIORITY SETTING - What are the most important and pressing needs? What specifically do we want to accomplish? What problem do we want to consider first? This helps us to direct our energies towards priority areas. The objectives provide us with a base to measure success against.

ALTERNATIVE APPROACHES - Now that we know exactly what needs to happen, what are the different ways of doing this? We need to list the options.

RESOURCE IDENTIFICATION - What do we have to work with? What services exist that could be developed? What space do we have access to? What personnel are available? What other help can we draw upon? What funding sources are available? It is important that we make the most of what we have. This will also show us how difficult it will be to meet each specific need.

PROGRAM SELECTION AND DESIGN - What have we decided to do? What steps will be taken to meet the objectives? By when? By whom? How? This is the phase where the flavor, approach and methodology of the service is defined.

IMPLEMENTATION - Doing it. The part we've all been waiting for. Working to accomplish the objectives.

MONITORING AND EVALUATION - Checking to make sure that it is getting done. Evaluating what is being accomplished. Changing program components in response to the environment and changing needs.

PROGRAM PLANNING

PROGRAM ABSTRACTS
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PROBLEM IDENTIFICATION AND NEEDS ASSESSMENT

IDENTIFYING THE PROBLEM

The existence of problems is the reason why social service organizations exist. When problems appear to be resolved an agency has the choice between closing shop, or identifying new problems to address. Problems abound. The difficulty is not in knowing that something is wrong, but in defining that "something" in a way in which remedies are suggested.

Whenever we define a problem our underlying values must be recognized. If we do not agree on some basic values then we will find ourselves defining the problem in very different ways. We will also need recognizable criteria for asserting that any problem needs attention. A good way to ascertain the nature and severity of the problem is by a thorough needs assessment.

For example deaf people in the community are expressing the desire for a community center where they can go and identify as their own. They want a building. Is this a problem? Hmmm? By itself, no. What is at the root of it? Deaf people we know are unemployed and underemployed and infrequently served by most community agencies. As a group they have no access to information about community resources because they are isolated from traditional agencies due to the fact that they communicate in sign language, and use telecommunication devices to communicate via telephone, or else have no telephone at all and must rely on personal visits to get information. This is really a problem. Our value base for this is that we believe that disabled people should have equal access to resources in the community and enjoy the full rights and responsi-

bilities of citizenship. We also assume that the community as a whole has some responsibility for providing this access. But how do we illustrate or prove that this really is a problem.

NEEDS ASSESSMENT

"Needs" is a general heading used to describe three things-- consumer demands and wants, and professionally defined needs. Demands are the things that people go out and get. Wants are the things that consumers say they would like. Needs are the things that professionals say consumers should have. It is important in the planning process to consider all three things.

This is really the information-gathering stage. It is the opportunity for learning the facts and the state of the art. It is pragmatic, because few are willing to give a project money to provide services without factual evidence that demonstrates the needs.

Consumer Demands - The information we need about demands is related to which services are now being used and which are being requested. We can look at this locally. We can also look at similar populations elsewhere and extrapolate, or compare, and apply that knowledge to our own area. Thus there are two kinds of information that we need:

- 1) What services are currently being requested by the community?

We need to ask provider agencies what services are requested that exist or do not exist, how many clients seek services, what is the size of the potential client population, what agencies provide services now. This in a sense describes the community, and gives an overview of where we are at present.

- 2) What kinds of programs exist in other cities and what services do they provide? (i.e., a description of programs so that we know the

state of the art , and can learn from one another).

Consumer Wants - This is the information that we need from consumers themselves. A frequent problem in the provision of social services is that things that consumers want are not offered, and things they need are offered in such a way that demand is discouraged. Involving consumers from this early stage ensures that they are aware of what is happening, they are able to express dissatisfactions, community support can be built, and apathy or alienation countered. Given the expected discrepancy between needs and wants this is an important way of stimulating demand and educating the community.

Asking everyone what they want would be a good way to define needs. However it could cost a great deal of time and money. An alternative is to locate a random sample of the client population and ask them extensive questions. The size of need could be estimated by multiplying the sample size by its proportion of the whole population. One approach to this is to have "living room meetings." The steps are to: 1) Identify approximately 20 leaders in the community from consumer organizations, church groups, and individual activists; 2) Devise a questionnaire which thoroughly covers all areas to be explored; 3) Ask each leader to hold a living room meeting for 12-20 persons they know. At this meeting collectively discuss the issues and individually complete the questionnaires.

Needs - This represents the professional or the expert opinion. Needs may or may not correspond exactly with wants or demands. It may be of particular importance when the client population has never had access to services, or is focussed on the symptoms of the problem rather than the basis of it.

Professionals and experts have the advantage of knowing the target population as a group. As a result of their daily contacts

with the problems of clients they are in a unique position to forecast or anticipate those needs which will be most frequently expressed in the future. Frequently professionals assess needs by the use of secondary data, for example population and census studies, research results and so forth. Professional opinion can also be solicited using the Delphi technique. This is a method which has been shown to result in qualitatively better decisions. It can also be used to make decisions about priorities. The technique consists of identifying a range of professionals in the area and soliciting their input via independently answered open-ended questions. The responses are compiled and fed back to the individuals a second time in order to receive revised input.

No matter what method is used to identify the problem, all constituents who will be affected should participate. Don't forget to include consumers, professionals, state agencies, funding sources etc. You may find that an essential part of this stage is to convince others that the problem is a valid one, and that something can be done about it.

OBJECTIVE SETTING AND PRIORITY SETTING

The way we identify a problem depends on our values. A group of people tackling a problem together will need to identify common ground of values in order to identify and approach the problem in a unified way. Once the problem has been identified, the program developed must offer partial resolution of that problem. It may also have other benefits, but its focus should be clear, and the benefits must be directly related to the problem.

When deciding upon overall objectives, what happens is that we identify what we will accomplish that will remediate the problem. In our earlier example, the simple building of a center may not necessarily solve the problems of the deaf community in access to services and information. To suggest that is putting the cart before the horse. Our objectives must be to facilitate client-provider relationships for example, or to be able to answer deaf people's questions. Later when we consider how best to do this we will evaluate several approaches.

Priority setting is the ranking of concerns according to agreed upon criteria so that the order in which they are to be attacked is established. This involves judgement and is a crucial part of planning. There are a number of ways of doing this:

- 1) Ranking needs according to severity. This can be done along with the needs assessment phase and the Delphi technique. That is, professionals can be asked to judge which needs are the most pressing according to the seriousness of the problem or the number of people affected. The needs can be weighted. Another way of accomplishing the same thing is to do a "bottom-up" ranking by using a process of

elimination to do away with the least important concerns.

2) Ranking needs as a process of participation. Del Becq offers an approach that can be done along with the wants assessment phase. After the first round of living room meetings the results of the questionnaire can be compiled and used to list potential services. Consumers can then rank order them according to preference. Gallaudet College of Public Affairs Office uses an auction technique to do this. Items can be given a minimum price based on cost of providing the service, and available resources. Individuals are each given \$1,000 with which to bid. At the end of the auction those items which went for the highest price are recognized as priorities.

3) Ranking according to availability of resources. This is a pragmatic means of providing the easiest services first, but it is a bit stifling. It can be useful in combination with the other techniques and encourages use of available resources.

4) Ranking according to administrative prerogative. This just means we decide for whatever reasons we want. This should be used as the final phase and draw upon the knowledge gained from the other methods. The accountability inherent in this approach is very low.

ALTERNATIVE APPROACHES.

How you approach your objectives, the process or methodology, is the most important factor in your success. Consider all possible approaches. Make a list of them. Think about them. Consider the impossible--you will refine it later. Weigh the alternatives, discuss them in terms of available resources, strategy and theoretical and state of the art knowledge. Be as flexible as possible at this point.

RESOURCE IDENTIFICATION

In identifying resources take the following items and lay them out with each heading at the top of a blank sheet of paper. Brainstorm. Think about the potential. Be creative.

1. What agencies provide special services for our client population?
(list contact person at each) State Agencies, County Agencies, City Agencies, Private Non-Profit Organizations, Commercial Organizations.
2. What existing agencies provide services that could or should be extended to include the client population? State, County, etc.
3. What sources of funding exist which may support the services wanted?
4. What personnel are available to deliver services? (if you don't know the individuals, where would you find them?)
5. What community organizations and individuals are available for support?
6. What in-kind facilities, personnel, materials, etc., exist from other agencies and individuals?
7. How can potential consumers be reached?

PROGRAM SELECTION AND DESIGN

Based upon all of the above steps, decide what you will do. Consider the negative consequences of your selection. Plan so as to minimize this potential negative impact.

Describe your chosen methodology in some detail. This is what the program will implement. If it isn't clear, don't expect administrators or staff to fulfill specific objectives. If it isn't specific, don't be surprised if staff redesign the program as they like. The methodology should be developed by those with the most experience in delivering services. Think broadly and be creative.

Programmatic objectives should be written which are specific and goal directed. These programmatic objectives are tools used to help us measure our accomplishments. A set of objectives defines what results a program intends to create.

A well written objective:

- begins with "to" and contains a strong action verb.
- specifies a single aim or end product that will be accomplished (the "what").
- specifies a target date for accomplishment.
- is measureable or observable.

Objectives must be realistic and they must be related to the goals of the program. Secondary objectives may relate to the process or activities involved (the "why" or "how").

IMPLEMENTATION

Establish policies and procedures. Design a workable information and record keeping system. Be ready to go back and revise objectives and methodology based upon experience. This stage belongs to your staff. Do not meddle or interfere. (If you do you will undermine their ability to fulfill their responsibilities, and to be effective.) Go directly to the next stage and set up a system for monitoring and evaluation.

MONITORING AND EVALUATION

Monitoring is an in-house function involving all aspects of the organization. It includes compliance with laws and regulations, the achievement of objectives and outcomes, compliance with contracts and grants, and policies and practices. It should include board functions such as personnel policies, job descriptions, and salaries, financial management, bookkeeping and so forth.

What is monitoring? Regular Information Gathering

Review

Record-keeping

Why monitor?

Problem Identification

Contract Compliance

Program Development and Adaptation

How to monitor?

Assessment of Accomplishment of Objectives

Standards and Criteria

Data Collection

Budgeting

Evaluation refers to selected and independent measurement of the program outcome. There are a variety of levels of evaluation which include: effectiveness, efficiency, adequacy, effort, process, and input. To do an objective evaluation, outside people must be brought in (during the program design stage) to conduct the assessment.

This includes for example a C.P.A. firm to review financial management procedures, and an audit later.

In evaluation there is a cycle in which we specify, measure, compare and assess. Outcomes are generally measured in relationship to objectives set. The purpose of any evaluation is to aid in future planning.

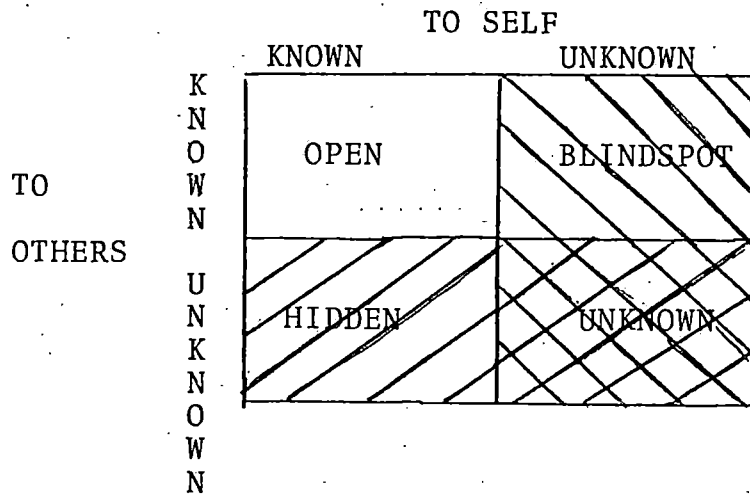
Public & Community Relations

NEWSPAPER ARTICLES
BROCHURES
PUBLIC SERVICE ANNOUNCEMENTS
PRESS RELEASES
COMMITTEE NOTES
NOTES

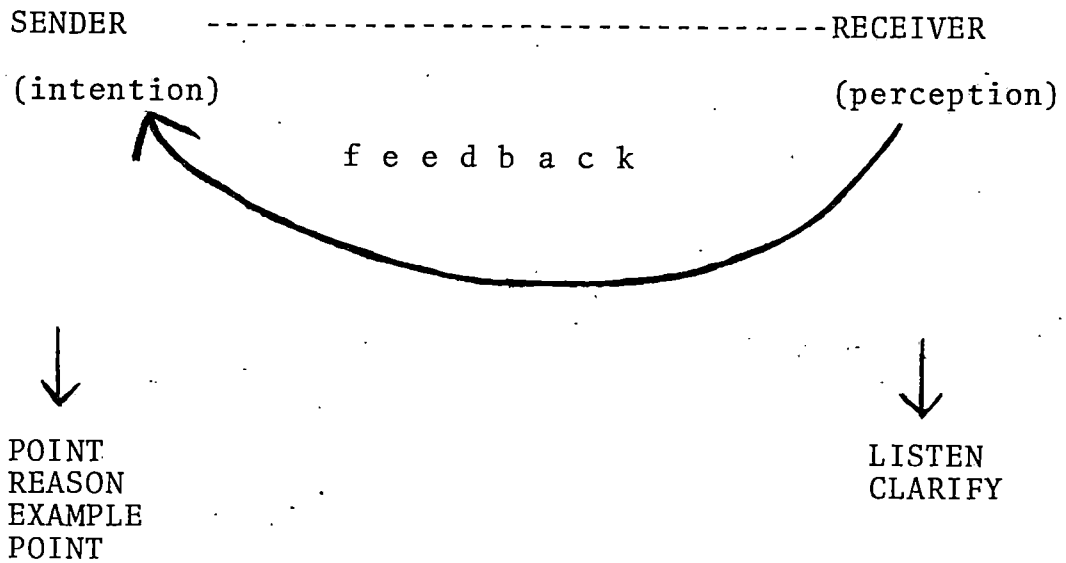
TECHNICAL Tools

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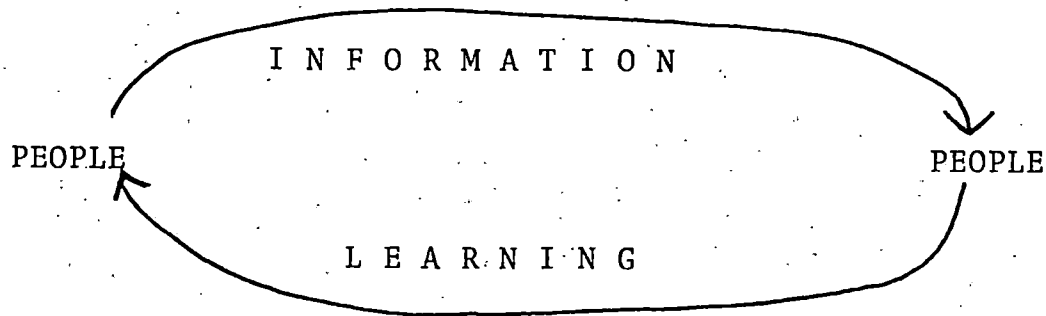
SHARING INFORMATION



Johari Window



FEEDBACK



GIVING: (If you don't own it, you can't give it.)

- Be genuine about giving
- Describe, don't evaluate
- Be specific, not general
- Consider the needs of the receiver and giver
- Be sure it's something the receiver can do something about
- It should be solicited, not imposed
- Consider timing
- Check to see if it's clearly received.

RECEIVING:

- Be willing to receive.
- Ask for clarification
- Concentrate on listening
- Listen for intent

GROUP DECISIONS

- DEFINE THE ISSUE
- BRAINSTORM
- OPEN DISCUSSION
- PRESENT MOTION
- DEBATE MOTION (SHORT)
- VOTE OR CONSENSUS

DECISION STYLES

- CONSENSUS
- COMMAND
- CONSULTATION

FACTORS

- Trust, Accountability
- Time, Objective Factors
- Time, Quality, Trust

IF THE DECISION IS IMPORTANT, HOW IT IS MADE CAN BE MORE IMPORTANT THAN WHAT THE OUTCOME IS?

MAKING IT WORK !!

Committee Chairpersons contact Board President to inform and present agenda items. Board President and Director confer to develop agenda. Information needed is written and distributed beforehand. Agenda should be in front of everyone at the meeting. Agenda should be prioritized and timed. Members should stay on the subject.

- ORDER OF BUSINESS:
1. Call to order. Approval of agenda.
 2. Approval of minutes.
 3. Reports of officers and standing committees.
 4. Reports of special committees.
 5. Unfinished business.
 6. New business.
 7. Announcements
 8. Date, time and place of next meeting.
 9. Adjournment.

MINUTES:

The Minutes should be distributed as soon as possible after the meeting. They will be the guide to action, and the Board's way of keeping tabs on itself.

The Minutes should contain:

Meeting of:
Time, Date, Place:
Members Present:
Members Absent:

Order of Business:

Item 1.

Issue:

Discussion:

Motion(s):

Pros-
Cons-

Decision: (Vote or Consensus)

Next Steps:

What

By When By Whom

Item 2.

Etc.

PARLIAMENTARY PROCEDURE - MOTIONS

SECOND DEBATE AMEND VOTE

MAIN

- main
- substitute

Subsidiary

- lay on table
- move question
- extend/limit debate
- postpone action
- commit/recommit
- amend

INCIDENTAL

- consideration
- suspend rules
- adopt reports
- appeal chair
- withdraw motion
- divide question
- divide house
- point or order/information

PRIVILEGED

- time & place
- adjourn
- recess
- privilege
- reconsider

+	+	+	+
+	+	+	+
+	-	-	+
+	-	-	+ $\frac{2}{3}$
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-	-	-	+
-	-	-	-
+	-	-	+
+	-	-	+
+	+	-	+
-	-	-	-
+	-	-	+

SELF-EVALUATION

A YARDSTICK FOR MEASURING THE BOARD*

Thirty-six suggested criteria for Boards to use in self-evaluation.

Rating

Criteria or Measures of:	Yes	No	Need to Work on This
A. <u>Selection and Composition</u>			
1. The agency has a written statement of qualifications for board members.			
2. The Nominating Committee works on a year-round basis and solicits staff, board, clientele, and organization suggestions for nominations to the board.			
3. The agency is always thinking ahead and has a pool or reservoir of potential board members for the future.			
4. The board is composed of persons vitally interested in the work of the agency.			
5. The board is widely representative of the community.			
6. There is a satisfactory combination of experienced and new board members to guarantee both continuity and new thinking.			
7. The agency has a formal plan for limiting the tenure of board members which specifies rotation so as to assure a steady supply of new board members.			
B. <u>Orientation and Training</u>			
1. The agency has a clearly written statement outlining the duties and responsibilities of the new board member.			
2. The agency has a written plan which it follows in its program of orientation for its new board members.			
3. The agency has a board member manual which it supplies to all board members. The manual is revised periodically.			
4. The agency has a plan for and program of board member training carried on throughout the year.			
5. Board members participate in community, state, regional, and national training opportunities.			

*From Citizen Boards at Work: New Challenges to Effective Action by Harleigh B. Tracker.

A YARDSTICK FOR MEASURING THE BOARD (Continued)

Rating

Criteria or Measures of:	Yes	No	Need to Work on This
C. <u>Organization of the Board</u> 1. The board has a simple, concise set of bylaws which provide clear duties for the officers of the board and spell out the procedures by which the board transacts its business. 2. The board has an elected executive committee to handle matters which may come up between meetings. 3. The board has working committees such as program, personnel, legislation, public relations, etc., through which work is channeled. 4. Committee assignments and responsibilities are in writing and copies are supplied to committee members. 5. Committee assignments are reviewed and evaluated periodically. 6. Working relations between the executive and the board are clearly defined and understood. 7. Board and staff members are clear about their specific duties and responsibilities.			
D. <u>The Board at Work</u> 1. There are regularly scheduled board meetings at least ten times per year. 2. Meetings begin on time and end on time as per agreed upon schedule. 3. There is adequate preparation of material including agendas, study documents, etc., in advance of board meetings. 4. Board meetings are characterized by free discussion, general participation, active thinking together. 5. Board meetings deal primarily with policy formulation, review of plans, making board authorizations, evaluating the work of the agency. 6. Routine matters, that is, items requiring official action but little discussion, are handled with dispatch.			

A YARDSTICK FOR MEASURING THE BOARD (Continued)

Rating

Criteria or Measures of:	Yes	No	Need to Work on This
7. Minutes of board and committee meetings are written and circulated to the members. 8. Regular reports of committee work are made to the board. 9. The board spends some time on matters of community, state, and nationwide concern within the field of service of the agency. 10. Individual members of the board accept and carry assignments within the area of their special talents and competencies. 11. Board and staff members work together on specific programs and projects from time to time. 12. Executive functions and direct services are left to the staff.			
E. <u>Evaluation of the Board</u>			
1. Board members give sufficient time to the work of the agency and have a good record of attendance at regularly scheduled board and committee meetings. 2. The board conducts an annual review of its own organization and work. 3. The board has an agenda of future plans for the agency scheduled in terms of program priorities. 4. New leadership is emerging constantly from the board and its committees. 5. The board participates actively in community wide social welfare planning programs.			

ROLES & RESPONSIBILITIES IN AGENCY OPERATIONS

Examine the following statements and determine whether the activity is primarily a responsibility of the Board of Directors (including the officers), the Executive Director and the agency staff or the various Funding Sources that support the agency. If you feel the activity involves a shared responsibility indicate by numbers (1-2-3) the priority of responsibility. If you feel that only one of the three is responsible for carry out the activity place a check in the appropriate column.

Prepared by:
Jean Greene
John Newmiller
Allen Speiser
Nicholas Rezak

For:
Cornell Univ.
Rehabilitation
Training
Project

Revised:
5/4/78

Board of Directors	Executive Dir. & Staff	Funding Sources
1. _____ 2. _____ 3. _____ 4. _____ 5. _____ 6. _____ 7. _____ 8. _____ 9. _____ 10. _____	1. _____ 2. _____ 3. _____ 4. _____ 5. _____ 6. _____ 7. _____ 8. _____ 9. _____ 10. _____	1. _____ 2. _____ 3. _____ 4. _____ 5. _____ 6. _____ 7. _____ 8. _____ 9. _____ 10. _____

11. Personnel

- a. Selection and employment of Executive Director
- b. Termination of Executive Director
- c. Selection and employment of other agency staff
- d. Termination of other staff
- e. Development and establishment of personnel policies
- f. Application of personnel policies
- g. Interpretation of personnel policies
- h. Performance evaluation of Executive Director
- i. Performance evaluation of other agency staff
- j. Maintain employee personnel files
- k. Determine content of employee personnel files
- l. Type of pension or annuity plan for employees

12. Determining the specific assignments (functions) within the agency that can be filled by volunteers

13. Service volunteers working in the agency

- a. selection
- b. orientation/training
- c. supervision
- d. recognition

14. Community linkages

- a. responsibility for establishing relationships with other community organizations and agencies
- b. responsibility for establishing working relations with other agencies such as a clearly defined referral process

[illegible]

15. Reimbursement of employee expenses
16. Authorization for employee travel
17. Determining adequate insurance coverages
18. Maintain official Board minutes
19. Approving Board minutes
20. Approving Board Executive Committee minutes
21. Effective implementation of Board adopted policies
22. Amending Corporate bylaws
23. Terminating a current program
24. Establishing Public Relations program policy
25. Writing of releases to news media
26. Establishment of agency management system
27. Evaluation of agency management system
28. Preparation of Annual Budget
29. Adoption of Annual Budget
30. Establishment of yearly wage increments
31. Establish system of internal control
32. Establish form and substance of monthly financial reports
33. Preparation of monthly financial reports
34. Documentation
 - a. providing documentation to support expenditures
 - b. approving documentation to support expenditures
 - c. maintaining documentation to support expenditures
35. Reconcile monthly bank statements
36. File required reports with funding sources

[illegible]

THE BOARD OF DIRECTORS WORKSHEET

	Answer based on				Assistance Given
	Yes	No	Observation	Inquiry	
1. Does the Board have a written statement of purpose?	___	___	___	___	_____
2. Does the Board have written goals?	___	___	___	___	_____
3. Does the Board have written measurable objectives?	___	___	___	___	_____
4. Does the Board have well defined committees with written objectives and specific tasks?	___	___	___	___	_____
5. Does the Board have an effective written procedure for evaluating the organization's effectiveness in accomplishing its purpose, goals, and objectives?	___	___	___	___	_____
6. Does the Board have an effective written procedure for evaluating the top administrator?	___	___	___	___	_____
7. Does the Board have an effective periodic procedure for reviewing programs?	___	___	___	___	_____
8. Does the Board have an effective periodic procedure for reviewing budgets?	___	___	___	___	_____
9. Does the Board have fund-raising objectives?	___	___	___	___	_____
10. Does the Executive Director (in reality) report to the Board?	___	___	___	___	_____
11. Does the Board meet at least monthly?	___	___	___	___	_____
12. Is the location of the meetings conducive to effective and efficient meetings?	___	___	___	___	_____
13. Are agenda's prepared in advance jointly by the President and Executive Director?	___	___	___	___	_____
14. Are minutes of meetings kept in a form useful to those who want to review the reasons for board decisions, evaluate the Board's work, understand the organization's past, or orient themselves as new members?	___	___	___	___	_____
15. Are members of the Board aware of their legal responsibility and liability as Directors?	___	___	___	___	_____
16. Is there a comprehensive Board Manual?	___	___	___	___	_____
17. Do Board members have a length of service limit?	___	___	___	___	_____
18. Do Board members attend meetings regularly?	___	___	___	___	_____
19. Is each Board member a contributor?	___	___	___	___	_____
20. Is an advance information package sent out before each Board meeting?	___	___	___	___	_____
21. Other areas of concern:	___	___	___	___	_____

	Answer based on				
	<u>Yes</u>	<u>No</u>	<u>Observation</u>	<u>Inquiry</u>	<u>Assistance Given</u>
1. Do they have a concise definitive written statement of why the organization exists (a statement of purpose)?	—	—	—	—	—
2. Do they have concise written organizational goals?	—	—	—	—	—
3. Do they have an organization chart showing (1) functional and (2) staff positions in the organization?	—	—	—	—	—
4. Do they have precise, attainable, measurable and written annual organizational objectives?	—	—	—	—	—
5. Does each functional department have written responsibilities and objectives?	—	—	—	—	—
6. Does each staff person have a written job description?	—	—	—	—	—
7. Do they have written organizational/personnel policies?	—	—	—	—	—
8. Does each staff person have copies of the purpose, goals, objectives, policies, etc. of the organization?	—	—	—	—	—
9. Would the successful implementation of the policies, organizational structure, programs, and the accomplishment of the objectives satisfy the purpose of the organization?	—	—	—	—	—
10. Do they periodically review their goals, objectives, purpose, organizational structure, etc. and brainstorm alternatives?	—	—	—	—	—
11. Have they performed cost/benefit estimates for alternative program plans?	—	—	—	—	—
12. Have they divided their resources among their programs as efficiently as possible?	—	—	—	—	—
13. Do they prepare an annual budget?	—	—	—	—	—
14. Do they review progress of plans against budget monthly, or quarterly?	—	—	—	—	—
15. Do they have well-planned programs which ensure that:					
a) quality service is provided to clients/customers/audience?	—	—	—	—	—
b) activities/programs/etc. are completed on schedule?	—	—	—	—	—
c) the organization has sufficient funds to operate?	—	—	—	—	—
d) staff personnel are treated fairly and equitably?	—	—	—	—	—
e) reports and records provide timely management information i.e., a well-planned bookkeeping/accounting system?	—	—	—	—	—
f) legal requirements are met?	—	—	—	—	—
g) the public is aware of their existence?	—	—	—	—	—
h) there is control of physical resources--supplies, materials, equipment?	—	—	—	—	—
16. Do they have agendas for meetings and are they distributed beforehand?	—	—	—	—	—
17. Are scheduled evaluations part of their planning process?	—	—	—	—	—

EXTERNAL COMPLIANCE WORKSHEET

	Answer based on				
	<u>Yes</u>	<u>No</u>	<u>Observation</u>	<u>Inquiry</u>	<u>Assistance Given</u>
1. Are funds obtained through grants being used for the purposes and in the manner described by grant guidelines?	___	___	___	___	_____
2. Does the organization comply with the Fair Labor Standards Act (Department of Labor) in regard to non-discrimination in hiring and promotion, overtime pay, minimum wages, etc.?	___	___	___	___	_____
3. IRS Compliance					
a) Have they filed for an Employee Identification Number (SS-4)?	___	___	___	___	_____
b) Do they maintain a record of Federal Withholdings for each employee (W-4)?	___	___	___	___	_____
c) Do they report and pay federal employee deductions quarterly (941E)?	___	___	___	___	_____
d) Do they report and pay FICA (tax exempt NP not required)?	___	___	___	___	_____
e) Do they report income and expenses, and a balance sheet annually (990)?	___	___	___	___	_____
f) Do they report and pay unemployment insurance (501(c) (4) required; forms 508 and 940)?	___	___	___	___	_____
g) Do they report employee earnings to the state tax departments and the IRS by February 29 (W-2)?	___	___	___	___	_____
h) Do they inform the IRS how many W-2's they are mailing (W-3)?	___	___	___	___	_____
i) Do they report consultant's earnings (1099)?	___	___	___	___	_____
j) Do they inform the IRS of how many 1099's they are sending (1096)?	___	___	___	___	_____
k) Do they carry Workman's Compensation Insurance?	___	___	___	___	_____
4. Is the organization aware of OSHA regulations which pertain to them, and do they comply with these regulations?	___	___	___	___	_____

From: Tom Runyan, The Support Center, Washington D.C., Jan. 1978

ORGANIZATIONAL STRUCTURE WORKSHEET

	<u>Yes</u>	<u>No</u>	<u>Answer based on</u>		<u>Assistance Given</u>
			<u>Observation</u>	<u>Inquiry</u>	
1. Do they have an organization chart?	_____	_____	_____	_____	_____
2. Do they have written job descriptions for each job to be performed?	_____	_____	_____	_____	_____
3. Are there job specifications for each job description?	_____	_____	_____	_____	_____
4. Has sufficient authority been delegated to lower levels for competent performance?	_____	_____	_____	_____	_____
5. Do they have centralized records?	_____	_____	_____	_____	_____
6. Does each employee have a "fair day's work?"	_____	_____	_____	_____	_____
7. Is accountability for performance/success of activities established?	_____	_____	_____	_____	_____
8. Does the structure facilitate communication, cooperation coordination?	_____	_____	_____	_____	_____

From: Tom Runyan, The Support Center, Washington, D.C., Jan. 1978

QUALITY CONTROL WORKSHEET

		Answer based on		
		Yes	No	Observation Inquiry Assistance Given
1.	Do they have written policies and procedures for the <u>conduct and supervision</u> of work at all organizational levels?	___	___	___
2.	Do they have written policies and procedures for <u>client acceptance</u> or continuation?	___	___	___
3.	Do they have written <u>job specifications</u> (contained in the job description) to provide reasonable assurance that each job will be performed by persons having at least the degree of technical training and proficiency required for the competent performance of that job?	___	___	___
4.	Do they have written policies and procedures for the <u>supervision of field work</u> ?	___	___	___
5.	Do they have written policies and procedures for <u>consultation</u> to provide reasonable assurance that important decisions have input from persons having the appropriate levels of knowledge, competence, judgment, and authority?	___	___	___
6.	Do they have written <u>personnel policies</u> and <u>procedures</u> to provide reasonable assurance that the purpose, policies, professionalism, and image of the organization are maintained?	___	___	___
7.	Do they have written policies and procedures for <u>staff development</u> to provide reasonable assurance that personnel will have the knowledge required to enable them to fulfill assigned responsibilities?	___	___	___
8.	Do they have written policies and procedures for <u>personnel</u> advancement to provide reasonable assurance that people selected will have the qualifications necessary for the fulfillment of the responsibilities they will be called on to assume?	___	___	___
9.	Do they have written policies and procedures for <u>inspection</u> to provide reasonable assurance that the quality of the organization's service is being maintained?	___	___	___
10.	Do they have written policies and procedures for obtaining <u>client feedback</u> to provide reasonable assurance that their perception of quality conforms to the client's perception of quality?	___	___	___

From: Tom Runyan, The Support Center, Washington, D.C., Jan. 1978

PUBLIC RELATIONS WORKSHEET

	Answer based on				
	Yes	No	Observation	Inquiry	Assistance Given
1. Does the Board of Directors have written responsibilities and objectives for public relations?	___	___	___	___	___
2. Is there a Public Relations Plan?	___	___	___	___	___
3. Does one position in the organization have the stated responsibility for public relations, and has this person been allotted sufficient time for planning, organizing, implementing, and directing such programs?	___	___	___	___	___
4. Have they identified the media available to them (name, address, staff name, circulation deadlines)?					
a) daily newspapers?	___	___	___	___	___
b) weekly newspapers?	___	___	___	___	___
c) radio?	___	___	___	___	___
d) television?	___	___	___	___	___
e) wire services?	___	___	___	___	___
f) national press bureaus and correspondents?	___	___	___	___	___
5. Do they bring their activities to the public's attention?					
a) press releases?	___	___	___	___	___
b) news conferences?	___	___	___	___	___
c) interviews/talk/public affairs shows?	___	___	___	___	___
d) editorials, rebuttals, letters?	___	___	___	___	___
e) public service announcements?	___	___	___	___	___
f) free speech messages?	___	___	___	___	___
6. Do they select the PR medium in proportion to the significance of the news to be presented, i.e., the more people your news will affect, the more you try to reach?	___	___	___	___	___
7. Do they have brochures describing their organization?	___	___	___	___	___
8. Do they use "organization headed" stationary?	___	___	___	___	___
9. Do they use flyers/handouts to promote activities?	___	___	___	___	___
10. Do they have mailing lists?	___	___	___	___	___

From: Tom Runyan, The Support Center, Washington, D.C., Jan. 1978

FUND RAISING PLAN

			Answer based on		
	Yes	No	Observation	Inquiry	Assistance Given
1. Is there a job description with job specification for the person responsible for fund-raising?	—	—	—	—	—
2. Does the person(s) responsible for fund-raising have the qualifications listed in the job specification (or if there is not a job description, does this person have experience and training in fund-raising)?	—	—	—	—	—
3. Do they have fund-raising objectives for each fiscal year?	—	—	—	—	—
4. Does their Board of Directors (or a committee) have fund-raising objectives?	—	—	—	—	—
5. Have they solicited funds from					
a) religious institutions	—	—	—	—	—
b) business institutions	—	—	—	—	—
c) Government:					
1. local: city, county, district	—	—	—	—	—
2. state	—	—	—	—	—
3. federal	—	—	—	—	—
4. revenue sharing	—	—	—	—	—
5. CETA	—	—	—	—	—
6. Fellowships	—	—	—	—	—
d) United Way	—	—	—	—	—
e) Foundations:					
1. Local	—	—	—	—	—
2. Regional	—	—	—	—	—
3. National	—	—	—	—	—
f) direct mail solicitations	—	—	—	—	—
g) membership drives	—	—	—	—	—
h) benefits	—	—	—	—	—
i) fund-raisers (auctions, parties, fairs, bingo, etc.)	—	—	—	—	—
j) renting unused daytime or evening space to other groups	—	—	—	—	—
k) piggy-backing on someone else's event	—	—	—	—	—
6. Do they solicit contributions in forms other than money? (supplies, equipment, furniture, technical assistance, publicity)	—	—	—	—	—
7. Do they go to GSA sales/auctions?	—	—	—	—	—
8. Do they utilize their full staff to brainstorm resources?	—	—	—	—	—
9. Do they perform cost/benefit estimates for feasible options?	—	—	—	—	—
10. Do they have a fund-raising schedule for the next 12 months?	—	—	—	—	—
11. Have they budgeted sufficient time and money for fund-raising?	—	—	—	—	—
12. Do they have sufficient tools/guides for fund-raising (Foundation Directory, Taft Information System, Foundation News)?	—	—	—	—	—

From: Tom Runyan, The Support Center, Washington, D. C., Jan. 1978

FUND RAISING WORKPLAN (continued)

13. Is a sufficient percentage of their total fund-raising effort spent
on personal contact?

14. Do they have a standard format for purpose, history, finances,
etc.?

From: Tom Runyan, The Support Center, Washington, D.C. Jan. 1978

PURCHASING WORKSHEET

	Answer based on			
	Yes	No	Observation	Inquiry
				Assistance Given
1. Is purchasing a major function in the organization (i.e., do materials, supplies, equipment purchases, etc. account for 10% or more of the total expenditures)?	_____	_____	_____	_____
2. Has one position in the organization been assigned the responsibility for purchasing approval?	_____	_____	_____	_____
3. Has sufficient time been allocated for competent purchasing in that position's job description (i.e., if purchasing is only one of many functions that this person has responsibility for, is it specifically stated that X hours per week, or month are set aside for purchasing responsibilities)?	_____	_____	_____	_____
4. Do they maintain a log book with the date, description, quantity, vendor, and cost of supplies/materials purchased?	_____	_____	_____	_____
5. Have prices for supplies/materials been obtained from three or more sources and is this documented?	_____	_____	_____	_____
6. Is their selection of a vendor based on convenience rather than price? If so, does this cost the organization significantly over a twelve month period?	_____	_____	_____	_____
7. Have they checked into purchasing directly from the manufacturer rather than the distributor?	_____	_____	_____	_____
8. Do they obtain discounts for volume purchasing (either one time, or for volume over a year)?	_____	_____	_____	_____
9. Are receipts for materials/supplies purchased signed by the person receiving them, and are the receipts maintained in a file attached to the corresponding invoice?	_____	_____	_____	_____
10. Are pre-numbered purchase order forms utilized, containing the vendor, date, description, quantity, price, and purchasing authorization, and are they maintained numerically?	_____	_____	_____	_____
11. Do they have a petty cash fund for purchases of under \$ _____ ?	_____	_____	_____	_____
12. Do they maintain pre-numbered petty cash vouchers containing description of materials/supplies, date, person receiving, cost, and authorization?	_____	_____	_____	_____

From: Tom Runyan, The Support Center, Washington, D.C., Jan. 1978

BOOKKEEPING WORKSHEET

	Yes	No	Answer based on		
			Observation	Inquiry	Assistance Given
1. Do they have a chart of accounts?	___	___	___	___	___
2. Are checking accounts reconciled monthly?	___	___	___	___	___
3. Do they have a cash receipts and cash disbursements journal and do they post entries to these journals at least monthly?	___	___	___	___	___
4. Do they have account ledgers, and do they post to these ledgers at least monthly?	___	___	___	___	___
5. Do they prepare balance sheets annually or more frequently?	___	___	___	___	___
6. Do they physically inventory assets before preparation of the balance sheet?	___	___	___	___	___
7. Do they prepare income and expense statements annually or more frequently?	___	___	___	___	___
8. Do they prepare a budget at the beginning of the fiscal year, and do they review and revise it periodically?	___	___	___	___	___
9. Is there a petty cash fund, and are disbursements documented?	___	___	___	___	___
10. Do they have a substantial number of accounts receivable 30 days and over, and if so do they prepare an overdue accounts report periodically for follow-up activities?	___	___	___	___	___
11. Are accounts payable frequently overdue by 30 days or more, and if so, is it due to a cash flow problem, or inefficient bookkeeping?	___	___	___	___	___
12. Are voided checks maintained?	___	___	___	___	___
13. Is the person who deposits checks different from the person writing checks?	___	___	___	___	___
14. Is the person who signs checks different from the person writing checks?	___	___	___	___	___
15. Are receipts for purchases maintained under the program activity, the account name, or other easily retrievable files?	___	___	___	___	___
16. Are cash receipts deposited daily?	___	___	___	___	___
17. Is the person reconciling the checking account different from the person maintaining it?	___	___	___	___	___
18. Are checks numbered?	___	___	___	___	___
19. Is the person authorized leave requests different from the person maintaining leave records?	___	___	___	___	___
20. Does their bookkeeping system conform to the Accounting Institute of Certified Public Accountants guidelines for "generally accepted accounting principles and procedures?"	___	___	___	___	___

PERSONNEL ADMINISTRATION WORKSHEET

	Yes	No	Answer based on Observation	Inquiry	Assistance Given
1. Do they use job specifications in hiring new staff?	_____	_____	_____	_____	_____
2. Do they have a step by step training program for orienting new staff?	_____	_____	_____	_____	_____
3. Do they have a written statement of policies concerning items of interest to staff?	_____	_____	_____	_____	_____
4. Do they have training programs which will contribute toward staff growth, and do they base training needs on job descriptions and specifications?	_____	_____	_____	_____	_____
5. Have they compared their salaries with other organizations in the same industry and area, and are they consistent with company objectives?	_____	_____	_____	_____	_____
6. Are staff benefit programs a part of the total compensation program?	_____	_____	_____	_____	_____
7. Have they investigated the possibility of a retirement program?	_____	_____	_____	_____	_____
8. Are personnel records kept in accordance with federal, state and local requirements?	_____	_____	_____	_____	_____
9. Are references checked on job applicants?	_____	_____	_____	_____	_____
10. Are staff evaluated periodically--in a constructive manner?	_____	_____	_____	_____	_____
11. Are staff work loads reviewed periodically?	_____	_____	_____	_____	_____